

**STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING  
INFORMATION DISCLOSURE STATEMENT**

Docket No.  
14463

In Re Application Of: **Haruo Sunakawa, et al.**

Serial No.  
09/821,411

Filing Date  
March 29, 2001

Examiner  
S. Mulpuri

Group Art Unit  
2812

Invention: **METHOD OF MANUFACTURING A NITROGEN-BASED SEMICONDUCTOR SUBSTRATE AND A SEMICONDUCTOR ELEMENT BY USING SAME**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.

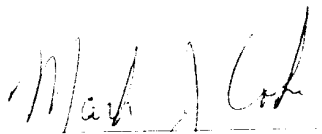
Check applicable statement herebelow:

Statement Under 37 CFR 1.97(e)(1)

- ☒ Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.

Statement Under 37 CFR 1.97(e)(2)

- ☐ No item of information contained in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

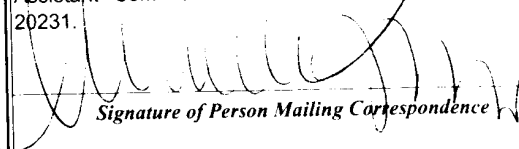
  
Signature

Dated: January 22, 2003

Mark J. Cohen  
Registration No. 32,211  
Scully, Scott, Murphy & Presser  
400 Garden City Plaza  
Garden City, NY 11530  
(516) 742-4343

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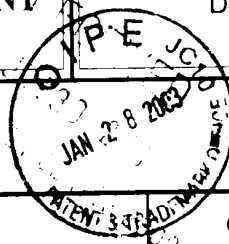
Mishelle Mustafa

Typed or Printed Name of Person Mailing Correspondence

CC:

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(d))

Docket No.  
14463



In Re Application Of: **Haruo Sunakawa, et al.**

Serial No.  
09/821,411

Filing Date  
March 29, 2001

Examiner  
S. Mulpuri

Group Art Unit  
2812

Title: **METHOD OF MANUFACTURING A NITROGEN-BASED SEMICONDUCTOR SUBSTRATE  
AND A SEMICONDUCTOR ELEMENT BY USING SAME**

Address to:

**Assistant Commissioner for Patents**

The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(c), and on or before payment of the issue fee, and is accompanied by the Statement as specified in 37 CFR 1.97(e) and the fee set forth in 37 CFR 1.17(p).

☒ A check in the amount of **\$180.00** is attached.

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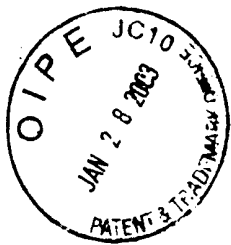
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Signature  
Mark J. Cohen  
Registration No. 32,211  
Scully, Scot, Murphy & Presser  
400 Garden City Plaza  
Garden City, NY 11530  
(516) 742-4343

Dated: **January 22, 2003**

CC:



**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicant(s):** Haruo Sunakawa, et al.

**Examiner:** S. Mulpuri

**Serial No.:** 09/821,411

**Group Art Unit:** 2812

**Filed:** March 29, 2001

**Docket:** 14463

**For:** METHOD OF MANUFACTURING A  
NITROGEN-BASED SEMICONDUCTOR  
SUBSTRATE AND A SEMICONDUCTOR  
ELEMENT BY USING SAME

**Dated:** January 22, 2003

Assistant Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT**

Sir:

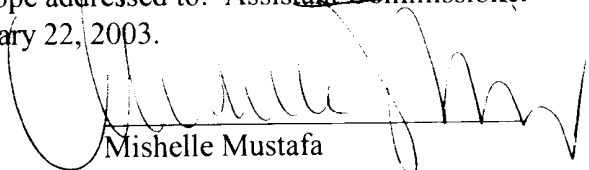
In accordance with 37 C.F.R §§1.97 and 1.98, it is requested that the following references, which are also listed on the attached Form PTO-1449, be made of record in the above-identified case.

1. Japanese Laid-Open Patent Application No. 11-260737, published September 24, 1999;
2. Japanese Laid-Open Patent Application No. 2001-119104, published April 13, 2001; and

**CERTIFICATE OF MAILING UNDER 37 C.F.R §1.8(a)**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on January 22, 2003.

**Dated:** January 22, 2003

  
Mishelle Mustafa

3. Japanese Laid-Open Patent Application No. 2001-53056, published February 23, 2001.

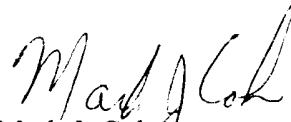
The references were cited in an Official Action dated October 29, 2002 received from the Japanese Patent Office. Applicants are submitting copies of the above-cited references, together with a translation of the Examiner's comments regarding the references from the Official Action. The relevance of the references is described in the Official Action.

In compliance with the requirements of 37 C.F.R. §1.98(a)(3), as a concise statement of relevance, as it is presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information, the undersigned attorney of record submits a translation of portions of an official action by a foreign examiner in which the references were cited. The relevance to the pending U.S. patent application is that the references were cited in a foreign patent application on the same subject matter. However, no independent analysis of the references, the accuracy of the statement of the foreign examiner or the claims of the foreign application under the laws of that country or the United States relative to the subject matter claimed in the present application has been made; the present understanding of the contents thereof by the undersigned being based on the translation of the foreign examiner's comments submitted herewith.

The Information Disclosure Statement is accompanied by a statement under 37 C.F.R. §1.97(e) and the requisite fee of \$180.00.

Inasmuch as this Information Disclosure Statement is being submitted in accordance with the schedule set out in 37 C.F.R. §1.97(d), consideration thereof is respectfully requested.

Respectfully submitted,

A handwritten signature in cursive script, appearing to read "Mark J. Cohen".

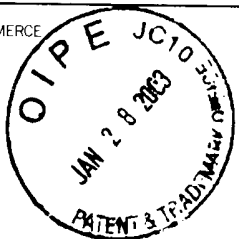
Mark J. Cohen  
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Garden City, New York 11530  
(516) 742-4343

MJC:lf

**LIST OF PRIOR ART  
CITED BY APPLICANT**

(Use several sheets if necessary)

**Atty. Docket No.**

14463

**Serial No.**

09/821,411

**Applicant**

Haruo Sunakawa, et al.

**Filing Date**

March 29, 2001

**Group**

2812

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (if appropriate)
	AA						
	AB						
	AC						
	AD						
	AE						

		Foreign Document Number	Date	Country	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
		11-260737	9/24/99	Japan				
		2001-119104	4/13/01	Japan				
		2001-53056	2/23/01	Japan				

**OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)**


**EXAMINER****DATE CONSIDERED**

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.